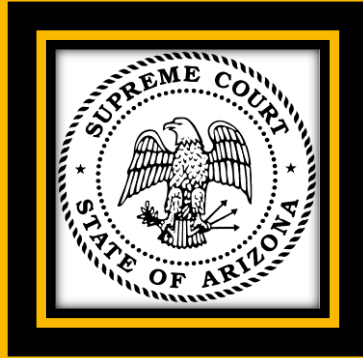


ARIZONA SUPREME COURT ADMINISTRATIVE OFFICE OF THE COURTS



NAVAJO COUNTY ADULT PROBATION

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Operational
Review

Final Report

May 2019

**Navajo County Adult Probation Department
Operational Review Draft Report**

Table of Contents

EXECUTIVE SUMMARY	3
Overview	3
Objective	3
Overall Conclusion.....	3
ADMINISTRATION AND MANAGEMENT	4
Policies and Procedures.....	4
Employment	8
Officer Certification/COJET/Training	9
Continuing Employment	10
Firearms	11
Minimum Accounting Standards (MAS)	13
Financial and Statistical Reports.....	14
Pre-sentence Report (PSR).....	14
Fleet Management.....	15
COMMUNITY PROTECTION	16
Tracking System	16
Standard Probation Supervision (SPS) Contacts.....	16
Intensive Probation Supervision (IPS) Contacts	18
Sex Offender Contacts	20
Absconders/Warrants	21
Sex Offenders.....	23
Global Positioning System (GPS).....	24
Signed Review/Acknowledgement of Terms and Conditions	25
DNA	26
SPS DNA	26
IPS DNA.....	26
VICTIMS' RIGHTS	27
IPS Victim Contacts	28
OFFENDER ACCOUNTABILITY.....	28
SPS Financials.....	28
IPS Financials	30
IPS Collection of Probationer Wages.....	31
SPS Community Restitution (CR) Hours.....	32
IPS Community Restitution (CR) Hours.....	33

**Navajo County Adult Probation Department
Operational Review Draft Report**

CASE MANAGEMENT	34
SPS Residence and Employment Verification	34
SPS OST/FROST Timeline Compliance	35
SPS Assessment Score Matching Supervision Level	36
SPS Case Plan	37
SPS Case Plan Signatures	38
SPS Low Risk Annual Review	39
IPS	40
Photo in File	40
Verification of Employment	40
Verification of Job Search and Verification of Community Restitution	40
Verification of Residence	40
Verification of IPS Schedules	41
IPS OST/FROST and Case Plan	42
Incoming Interstate	43
Outgoing Interstate	44
Closed	46
TREATMENT SERVICES	47
SPS Treatment Referrals	47
IPS Treatment Referrals	48
Transferred Youth	48
SPS Drug Testing	50
IPS Drug Testing	51
Drug Treatment and Education Fund (DTEF)	51
ACKNOWLEDGEMENTS	53

**Navajo County Adult Probation Department
Operational Review Draft Report**

EXECUTIVE SUMMARY

Overview

Arizona's adult probation system is decentralized, with each of the 15 local probation departments reporting directly to the presiding judge of the superior court or court administrator in their respective county. In accordance with the administrative and supervisory authority established under Article VI, Section 3 of the Arizona Constitution and in cooperation with the local probation departments, the AOC has developed and implemented a comprehensive operational review process.

Objective

The APSD's operational review team conducts reviews in accordance with the Arizona Judicial Department's *Advancing Justice Together: Courts and Communities* strategic agenda. Operational reviews assess and document adult probation departments' operational and program performance to assist in building effective community supervision practices. The objective of the review team is to ensure accountability and compliance with Arizona Revised Statutes (A.R.S.), the Arizona Code of Judicial Administration (ACJA), Administrative Orders (AO), Administrative Directives (AD), Arizona Rules of Court, approved program plans, funding agreements, and local policies and procedures. The review is designed to identify areas of non-compliance and make recommendations for corrective action, while promoting an atmosphere of collaboration and facilitation of technical assistance. To this end, the review team inspects the department's policy manual and response to the SAQ, reviews case files, program files, and all correspondence and reports submitted to the APSD. The review team also conducts Minimum Accounting Standards (MAS) and Firearms verifications with appropriate staff working with MAS and Firearms/Ammunition and Defensive Tactics.

The on-site portion of the Navajo County Adult Probation Department operational review was conducted November 5-6, 2018. Pre-review work began in May 2018. The review team consisted of Ivan Ramirez, Carol Banegas-Stankus, Jane Price, Susan Alameda, and Carissa Moore.

Recommendations are provided in areas where less than 100 percent compliance is achieved. A department response is not required in areas with 90 percent or above compliance; however, feedback is always welcomed and very much appreciated. After the final report is published, the review team and AOC staff will work collaboratively with the department to develop a corrective action plan to assist the department in resolving all issues identified in this report.

Overall Conclusion

Number of Standards Exceeded:	0
Number of Standards Met:	85
Number of Standards Not Met:	80
Number of Standards Not Applicable:	17

**Navajo County Adult Probation Department
Operational Review Draft Report**

ADMINISTRATION AND MANAGEMENT

Each probation department fulfills a variety of general administrative and management functions which directly effects the department's performance and effectiveness in its supervision of probationers. Many of these functions are accomplished in accordance with Statutes, the ACJA, AOs, ADs, funding agreements, and local policies and procedures. The review team assessed the department's compliance with administrative and management functions in the following areas: departmental policies and procedures, officer certification, education and training requirements for department staff, general reporting obligations, MAS, supervisory case file review, and pre-sentence investigation (PSI) reporting.

The following Findings Key is used throughout the report to reflect the department's compliance with each of the review areas:

Findings Key:

Exceeds Standard: Substantially exceeds requirement of standard based on a higher standard required by the department's policy

Meets Standard: Substantial compliance with the standard for the relevant review period. Must meet a compliance of 100%-90%

Does Not Meet Standard: Requires corrective action when compliance is 89%-0%

Compliance Rating Not Applicable: A compliance percent is not given to a specific area of review

Policies and Procedures

Pursuant to **ACJA § 6-105(D)(2)(b)**

The AOC, APSD Subject Matter Experts reviewed policies from the department's policy and procedure manual. Results of the review are as follow:

POLICY AND TITLE	RECOMMENDED REVISIONS
1.1 Judicial Merit Policies and Procedures	Authority Section and Header Please include the language "Navajo County Adult Probation Department" into this policy since the merging of Adult and Juvenile Probation Departments.
1.11 Misconduct and Harassment	Authority Section and Header Please add language to include "Navajo County Adult Probation Department," due to the merging of Adult and Juvenile Probation Departments. Employee Misconduct Section

**Navajo County Adult Probation Department
Operational Review Draft Report**

POLICY AND TITLE	RECOMMENDED REVISIONS
	<p>Please add language to include “Navajo County Adult Probation Department,” currently only lists Juvenile Probation.</p> <p>Sexual Harassment Section</p> <p>Please add language to include “Navajo County Adult Probation Department,” currently only lists Juvenile Probation.</p>
1.7 Vehicles	<p>Authority Section and Header</p> <p>Please add language to include “Navajo County Adult Probation Department,” due to the merging of Adult and Juvenile Probation Departments.</p> <p>Operation of a State Vehicle (8)</p> <p>Please delete “no longer necessary.” Effective March 22, 2018, due to ADOA Fleet Management completing the automation process.</p> <p>Operation of State Vehicle Section (17)</p> <p>This numbered section is listed as 1 when it should be 17; please correct.</p> <p>Reporting Loss, Damage, or Theft of a State Vehicle Section</p> <p>Please revise “the liaison shall fax...” to “the liaison shall fax or email...”</p>
Probation Extension/Discharge/Termination Revised 06/2015	<p>Authority Section</p> <p>Please include ARS §§ 13-610, ARS 13-902, ARS 13-805, and ACJA § 6-103.</p>
Collections Revised 06/2015	<p>Authority Section</p> <p>Please include the new Administrative Order 2018-31</p> <p>Section VI</p> <p>Please revise “in a locked immovable safe” to “in a locked immovable and fireproof safe.”</p> <p>Section VIII</p> <p>Please add requirements of receipts journal and MAS Compliance Checklist per ACJA § 1-401 (E)(1).</p>
Drug Treatment Education Fund (DTEF)	<p>Procedures (B) (1)</p> <p>Please remove language “...If eligible...” determination is to be noted regardless of eligibility.</p> <p>Procedures (C) (4)</p> <p>Please change language “... referral to AHCCCS only needs to be made if the client is DTEF eligible or status is unknown.”</p>

**Navajo County Adult Probation Department
Operational Review Draft Report**

POLICY AND TITLE	RECOMMENDED REVISIONS
	DTEF code indicates that mandatory and discretionary clients are to be screened for AHCCCS regardless of funding.
Firearms Policy and Procedures	Policy Section (K) (2). Please remove this section from the policy. The Committee on Probation removed this language from the code.
Global Positioning System (GPS) Monitoring	Policy Section Please add language "... and if the person is classified as a level three offender pursuant to ARS §§13-3825 and 13-3826, shall be..."
Immigration Notification and ACJIS Inquiry	Authority Section Please cite current AO 2007-86 and 2007-85, Modified Foreign Born Protocols, and AD 2009-13.
Intercounty Courtesy Supervision	Authority Section Please revise this policy to refer to the current ACJA§ 6-211 and include local procedures due to the code revisions.
Presentence	Authority Section Please cite A.R.S. §§13-914 and 13-4424.
S 1.01 Principles of Evidence Based Supervision	Overview Section (1) (¶5) Please revise paragraph above the list of ten, due to factors relating to problems or difficulties complying with supervision rather than "criminogenic" factors. (i.e. Physical Health)
S 1.03 Standard Probation Supervision Risk Level Requirements	Risk Level Requirements Section (I) Please revise language from "180 days" to "12 months" due to code revisions effective January 11, 2017.
S 1.04 Supervision Strategies	Supervision Strategies (3) (B) Please revise language for "directives for treatment." Treatment should not be considered a sanction, treatment is a response to a need and addresses a risk. Supervision Strategies (3) (I) If applicable, recommend adding Discretionary Jail as a sanction.
S 2.01 Probation Violation Responses	Procedure Section Policy utilizes three terms for probationers, for consistency, please utilize one term. Procedure Section (B) Please revise language for "directives for treatment." Treatment should not be

**Navajo County Adult Probation Department
Operational Review Draft Report**

POLICY AND TITLE	RECOMMENDED REVISIONS
	<p>considered a sanction, treatment is a response to a need and addresses a risk.</p> <p>Procedure Section (I) If applicable, recommend adding discretionary jail as a sanction.</p>
S 3.03 IPS Supervision Level Placement and Requirements	<p>Procedure Section (¶2) Please revise “an initial case plan must be finalized...” to “an initial case plan and standardized assessment must be finalized...”</p> <p>Supervision Level 1 (a) Please add language “an initial contact at the probationer’s residence to verify the suitability of the environment within ten days of sentencing or release from incarceration” per ACJA § 6-202.01.</p> <p>Supervision Level 1 (m), Supervision Level 2 (n), & Supervision Level 3 (n) Please revise language “180 days” to “12 months” per ACJA § 6-202.01.</p>
S 7.04 Early Termination of Probation	<p>Authority Section Moreover, please cite ACJA § 6-201.01.</p> <p>Procedure Section (B) Please add language addressing outstanding financial obligations being reduced to a Criminal Restitution Order (CRO).</p>
Sex Offender Supervision	<p>Procedures Section (D) (3) Please revise language “within 1000 feet of schools and daycare facilities” to “within 1000 feet of schools, daycare facilities, and victims” as stated in ARS § 13-3727.</p>
Training Requirements	<p>Policy Section (1) (b) Please revise language “All probation and surveillance officers must successfully complete the Defensive Tactics Academy within one year of hire...” to “All probation and surveillance officers who are in safety sensitive positions and before assigned safety sensitive duties must successfully complete the Defensive Tactics Academy within one year of hire...” per ACJA § 6-107.</p>
Warrants Policy	<p>Authority Section Please also cite ARS § 13-805, ACJA §§ 6-201.01 and 6-202.01.</p> <p>Procedure Section (A) (6)</p>

**Navajo County Adult Probation Department
Operational Review Draft Report**

POLICY AND TITLE	RECOMMENDED REVISIONS
	<p>Please revise language pursuant to A.R.S. § 13-4415(A). The current language does not include to notify the opted in victim of any hearing on proposed modification of terms of probation and does not include to notify the victim of arrest.</p> <p>Procedure Section (B) (1) (g) Please add language “to reengage the probationer until the probationer is apprehended...”</p> <p>Procedure Section (B) (5) Please cite A.R.S. § 13-805 (A) (B)(C).</p>

Noteworthy: The AOC, APSD acknowledges that 8 of the 33 policies submitted by the department for review met standard.

Department Response: “The department is in the process of reviewing and updating all departmental policies. As the adult and juvenile departments have recently combined, the department will produce a new combined policy manual. These new policies will be submitted to the AOC for review once completed.”

Required Corrective Action: Please submit all new/revised policies and procedures to the AOC for review and approval.

Recommendation: Ensure department policies and procedures are current with ACJA.

Employment

Pursuant to ACJA § 6-106(H)(3)(b-c), (F)(3)(a), and (H)(1 through 8)

Twenty-three personnel files were selected for review, 18 probation officers and 5 surveillance officers. The results are as follows:

Employment Qualification Review					
Requirements	Yes	No	N/A	% Compliance	Meets Standard
Verification of bachelor’s degree-for PO	18	0	5	100%	<input checked="" type="checkbox"/>
Verification of high school diploma/GED-for SO	5	0	18	100%	<input checked="" type="checkbox"/>
National and State Criminal History check before hire	18	0	5	100%	<input checked="" type="checkbox"/>

**Navajo County Adult Probation Department
Operational Review Draft Report**

Employment Qualification Review					
Requirements	Yes	No	N/A	% Compliance	Meets Standard
Before hire, was a driving records check through AZ MVD and any other previous state of residence conducted	18	0	5	100%	<input checked="" type="checkbox"/>

Noteworthy: The AOC, APSD congratulates the department in achieving 100 percent compliance in all four review areas.

Department Response: None required

Required Corrective Action: None required

Recommendation: Continue the great work in this review area.

Officer Certification/COJET/Training

Pursuant to ACJA §§ 6-104 (F)(1) and 6-106 (J)(1)(b) adopted via AO 2006-99, ACJA §§ 1-302(K)(4), 6-104 (G)(1)(a), and 6-107 (E)

Twenty-three personnel files were selected for review, 18 probation officers and 5 surveillance officers. The results are as follows:

Officer Certification Training					
Requirements	Yes	No	N/A	% Compliance	Meets Standard
Eight (8) hours of officer safety training within 30 days of hire	17	0	6	100%	<input checked="" type="checkbox"/>
Completion of PO Certification Academy within one (1) year of the date of hire/date in position	7	0	16	100%	<input checked="" type="checkbox"/>
Certification requested by CPO after one (1) year of service has been completed from hire date/date in position	0	7	16	0%	<input type="checkbox"/>
Completion of IPS Academy within one (1) year of assignment	7	0	16	100%	<input checked="" type="checkbox"/>

¹Includes new hires with less than 1 year of service at time of operational review, terminations prior to one year of service, and/or CPO.

Noteworthy: The department did an excellent job attaining 100 percent compliance in three of the four review areas.

**Navajo County Adult Probation Department
Operational Review Draft Report**

Department response: “The department will update its QA processes that will include a training records and personnel checklist. The department will also conduct an annual personnel file review to ensure compliance.”

Required Corrective Action: Once developed, please submit a copy of the revised checklist to the AOC.

Recommendation: Include in the department’s quality assurance procedure the development and utilization of a training records checklist, personnel checklist, or an annual personnel review checklist.

Continuing Employment

Pursuant to ACJA § 6-106 (J)(1)(f), ACJA §1-302, and ACJA § 6-107(h)(7)(a) & (b)

Twenty-three personnel files were selected for review, 18 probation officers and 5 surveillance officers. The results are as follows:

Biannual Criminal History & Annual MVD Check					
Requirements	Yes	No	N/A ¹	% Compliance	Meets Standard
Criminal History Check Every 2 Years	23	0	0	100%	<input checked="" type="checkbox"/>
If the employee operates a state/county/personal vehicle, were annual MVD reviews conducted	23	0	0	100%	<input checked="" type="checkbox"/>

¹Includes officers with less than one year of services or terminated prior to one year of service.

Continuing Education					
Requirement	Yes	No	N/A ¹	% Compliance	Meets Standard
2018 Annual Continuing Education Requirement	23	0	0	100%	<input checked="" type="checkbox"/>

¹N/A includes exempt officers.

²Includes all probation and surveillance officers.

Noteworthy: The AOC, APSD congratulates the department in achieving 100 percent compliance in all three review areas.

Department response: None required

Required Corrective Action: None required

Recommendation: Continue the great work in this review area.

**Navajo County Adult Probation Department
Operational Review Draft Report**

Firearms

Pursuant to **ACJA § 6-113**

Twenty-three personnel files were selected for review, 14 are armed officers. The results are as follows:

Firearms						
Requirements	Yes	No	Total	N/A¹	% Compliance	Meets Standard
ACJA § 6-113(E)(1) ; Officer submitted written request to carry to CPO	14	0	14	9	100%	<input checked="" type="checkbox"/>
ACJA § 6-113(E)(4) ; CPO acts on officer initial request to carry within 30 days	14	0	14	9	100%	<input checked="" type="checkbox"/>
ACJA § 6-113(E)(g)(1-7) ; Officer signs form attesting to 7 Items	14	0	14	9	100%	<input checked="" type="checkbox"/>
ACJA § 6-113(E)(2)(a) ; Officer completed psychological testing	14	0	14	9	100%	<input checked="" type="checkbox"/>
ACJA § 6-113(E)(2)(b) ; Criminal history records check completed	14	0	14	9	100%	<input checked="" type="checkbox"/>
ACJA § 6-113(E)(2)(c) ; Officer completed and demonstrated proficiency in all defensive tactics training	14	0	14	9	100%	<input checked="" type="checkbox"/>
ACJA § 6-113(E)(2)(d) ; Officer signed form indicating medically/physically able to perform armed officer duties	14	0	14	9	100%	<input checked="" type="checkbox"/>
ACJA § 6-113(E)(2)(e) ; Officer completed Firearms Training Academy	14	0	14	9	100%	<input checked="" type="checkbox"/>
ACJA § 6-113(E)(2)(f) ; Officer completed competency test & training course on ACJA 6-112 & 113	14	0	14	9	100%	<input checked="" type="checkbox"/>
ACJA § 6-113(G)(3) ; CPO approves/disapproves request to carry within 30 days after officer completes all requirements	14	0	14	9	100%	<input checked="" type="checkbox"/>

**Navajo County Adult Probation Department
Operational Review Draft Report**

Firearms						Meets Standard
Requirements	Yes	No	Total	N/A¹	% Compliance	
ACJA § 6-113(H)(1) ; Officer signed form indicating an understanding of the terms & conditions in code and any department policy regarding use of firearms	14	0	14	9	100%	<input checked="" type="checkbox"/>
ACJA § 6-113(G)(4)(5) ; For denial, temporary suspension or revocation to carry, CPO must provide written reasons, place in personnel file, & copy officer & officer's supervisor	0	0	0	23	N/A	<input type="checkbox"/>
ACJA § 6-113(H)(3) ; Completed annual re-qualification & participated in all required practice sessions	13	0	13	10	100%	<input checked="" type="checkbox"/>

¹N/A includes unarmed officers, any officer not completing a requirement, carry for less than a year, or is the CPO.

Noteworthy: The AOC, APSD commends the department for achieving 100 percent compliance in all review areas above.

Department response: None required

Required Corrective Action: None required

Recommendation: Continue the excellent work in these review areas.

Pursuant to **ACJA § 1-302(K)(6)**

Code Standard for CPO Training	Meets Standard
Every chief probation officer (CPO) shall attend at least one program conducted out-of-state or in-state by an established, nationally recognized training organization every three years.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input checked="" type="checkbox"/>

Noteworthy: Not applicable

Department response: None required

Required Corrective Action: None required; the CPO was appointed to the position less than three years ago, specifically, on January 15, 2018.

**Navajo County Adult Probation Department
Operational Review Draft Report**

Recommendation: Within three years of the CPO's appointment, he/she attend at least one program conducted out-of-state or in-state by an established, nationally recognized training organization.

Minimum Accounting Standards (MAS)

Pursuant to ACJA § 1-401(E)(1), ACJA § 1-401(E)(4), ACJA § 1-401(F)(2), ACJA § 1-401(F)(10), and ACJA § 1-401(F)(12)

Meets Standard: <input checked="" type="checkbox"/>

The operational review team obtained a copy of the department's most recent (Reporting Year: 2017) MAS Compliance Checklist which was completed by the department and was not received by the AOC on time. According to the AOC Court Services Division, Navajo County Adult Probation's Triennial External Audit dated December 2015 was received timely.

The department has authorized personnel who collect money from probationers at the following reporting locations: Holbrook, Show Low, Snowflake, and Winslow. Office locations are assigned a receipt book that is used for probationer payments for fines/fees/restitution.

Navajo County Superior Court contracts for couriers to collect payments from the department's offices and transports them to the department's administrative office. The administrative office verifies payments received (i.e. physical checks) using a log sheet but does not reconcile the deposits with the receipts log. Currently, the log sheet only lists the number of payments received and the date the payment was received, however the log sheet should include name of payee, method of payment, amount received, and case number.

Payments are not transferred to the Clerk's Office or administrative office in deposit locking bags or tamper-proof plastic bags. If payments remain over night, they are placed in a locked safe with no public access.

In certain satellite offices the receipt book and payments received are not in a secure location that is not accessible to the public and is only accessible to authorized personnel until they are deposited.

Noteworthy: Overall, the department does a good job in safeguarding all financial records and payments as required by Administrative Order No. 97-62 and ACJA 1-401.

Department Response: "The department will update its QA process to ensure it includes sufficient audits of financial records and procedures."

Required Corrective Action: Please submit a copy of the updated QA process that safeguards accounting records such as receipt books, checks, and monies received by the department.

**Navajo County Adult Probation Department
Operational Review Draft Report**

Recommendation: Develop a checklist for periodic financial reviews to ensure authorized personnel is following required MAS procedures to safeguard all monies and financial records.

Financial and Statistical Reports

Pursuant to ACJA § 6-201.01 (F)(12-13), ACJA § 6-201.01 (F)(16-17), ACJA § 6-202.01 (F)(10-11), and ACJA § 6-202.01 (F)(14-15)

According to the AOC, APSD Budget Analyst, mid-year and closing reports were received from the department on time and are accurate. Monthly budget reports were also received in proper format within specified time frames.

Code Standard for Financial	Meets Standard	
Closing financial and program activity reports through December 31, 2017 submitted to the AOC by January 31, 2018.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Closing financial and program activity reports through June 30, 2017 submitted to the AOC by August 31, 2017.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

According to the AOC, APSD Data Statistical Specialist, annual hand count reports and performance measures were submitted on time during FY 2018.

Code Standard for Statistical Reports	Meets Standard	
Probation departments operating an IPS program shall maintain and provide to the AOC data and statistics as may be required.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Probation departments providing standard probation services shall maintain and provide to the AOC data and statistics as may be required.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
On request, Chief Probation Officer shall conduct hand counts of the department's IPS population and shall submit results of the hand counts.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
On request, Chief Probation Officer shall conduct hand counts of the department's standard probation population and shall submit results of the hand counts.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

Noteworthy: The department is commended for meeting standard in all review areas.

Department response: None required

Required Corrective Action: None required

Recommendation: Keep up the good work in these review areas.

Pre-sentence Report (PSR)

Pursuant to Arizona Rules of Court 26.4(B)

**Navajo County Adult Probation Department
Operational Review Draft Report**

For fiscal year 2018 (July 1, 2017 to June 30, 2018), the department reported that according to APETS, 279 PSRs were prepared which contrasts with the total of 328 reported for fiscal year 2018 performance measures. The department indicated in the Self-Assessment Questionnaire (SAQ) that **98 percent** of the 279 reports were submitted to the Judge within two business days of sentencing.

Meets Standard: <input checked="" type="checkbox"/>

Noteworthy: The department did a good job meeting standard in this review area.

Department response: None required

Required Corrective Action: None required

Recommendation: Utilize APETS reports designed to pull PSR data which can be compared with monthly performance measures submitted to APSD. The reports assist in ensuring the accuracy of reporting PSRs completed and submitted.

Fleet Management

Pursuant to **ACJA § 6-111, A.R.S. § 38-538.02**, and the Arizona Department of Administration Fleet Management Rule R2-15-202.

According to the AOC, APSD Fleet Specialist, the department is in compliance with fleet management requirements. During FY 2018, the department submitted their reports on time.

Code Standard for State Fleet	Meets Standard	
Department maintains a vehicle database or log that shall include, but not limited to; name of operators and location of vehicle.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Department conducts annual Motor Vehicle Department (MVD) reviews of all department employees operating a state vehicle.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
The Chief Probation Officer shall delegate management of the department's state vehicles to an employee of the department.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
State vehicle damage or loss is reported to the AOC and ADOA Fleet Management within the next business day.	N/A <input checked="" type="checkbox"/>	

Noteworthy: The department did a good job meeting standard in three of the four review areas.

Department Response: None required

Required Corrective Action: None required.

Recommendation: Develop procedures to ensure the timely submission of vehicle damage or loss reports. Also, provide a current list of state vehicles and assignment location. Include in the

**Navajo County Adult Probation Department
Operational Review Draft Report**

department's quality assurance procedure periodic fleet requirement reminders during staff meetings, and refresher code training conducted by the Fleet Liaison.

COMMUNITY PROTECTION

The probation department has a responsibility to enhance public safety through careful supervision and monitoring of individuals receiving a suspended sentence. The review team assessed the department's compliance with these criteria in the following areas:

- Minimum contact standards for standard supervision cases
- Minimum contact standards for intensive supervision cases
- Minimum contact standards for sex offender cases
- Management of absconder cases
- Victim notification requirements

Tracking System

Pursuant to ACJA 6-201.01(J)(4), ACJA 6-202.01(L)(1)(e), and Statewide APETS Policy - Minimum Use Mandates (B)(1)

AOC policy requires contacts/case notes to be entered in APETS within 72 hours. During July 1, 2018 through September 22, 2018 there were 10,693 contacts (**86 percent**), 9,223 contacts were entered on time.

Meets Standard: N

Standard Probation Supervision (SPS) Contacts

Pursuant to ACJA §§ 6-201.01(K)(8)(a), 6-201.01(K)(6), and 6-201.01(K)(4)(a, b)

A review of 83 SPS case records was conducted. The period reviewed for contacts was July 2018, August 2018, and September 2018. Of the 83 case records reviewed, 15 were on maximum supervision, 38 were on medium supervision, 29 were on minimum supervision, and one was intensive probation. Information in APETS revealed the following:

Supervision Level	July 2018	August 2018	September 2018
Minimum	29	29	29
Medium	38	37	38
Maximum	15	15	14
Total¹	82	81	81

¹Review of contact for some case files was not applicable because probationers' start dates were the following month and/or probationer was on IPS/Jail/DOC for the review period.

**Navajo County Adult Probation Department
Operational Review Draft Report**

Credit was not given for a collateral contact if the contacts/case notes screen in APETS did not contain meaningful dialogue with the person.

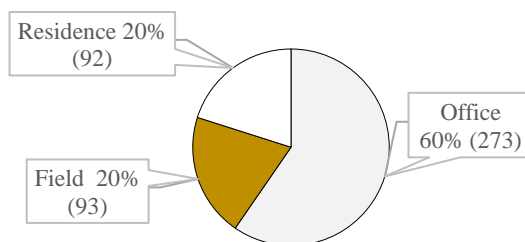
Required SPS Minimum Level Supervision Contacts			
Requirements Met	July 2018	August 2018	September 2018
Yes	27	22	21
No	0	0	0
N/A ¹	2	7	8
Total	29	29	29
% Compliance	100%	100%	100%
Meets Standard	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

¹NA includes probationers whose SPS start date was the following month and/or was in jail during the review period.

Required SPS Medium Level Supervision Contacts			
Requirements Met	July 2018	August 2018	September 2018
Yes	33	28	21
No	2	3	8
N/A	3	6	9
Total¹	38	37	38
% Compliance	94%	90%	72%
Meets Standard	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Required SPS Maximum Level Supervision Contacts			
Requirements Met	July 2018	August 2018	September 2018
Yes	7	9	5
No	5	1	1
N/A	3	5	8
Total¹	15	15	14
% Compliance	58%	90%	83%
Meets Standard	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**Location of SPS Probationer
Contact Total Contacts: 458**



**Navajo County Adult Probation Department
Operational Review Draft Report**

Noteworthy: The department did an excellent job attaining 100 percent compliance in six of the nine review areas.

Department Response: “The department will continue to conduct scheduled file reviews as part of its QA process. Furthermore, the department will provide refresher training to staff, as necessary, to ensure that staff fully understand contact requirements and how to properly document contacts in APETS.”

Required Corrective Action: Please provide confirmation of staff refresher training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of Client Level Reports in APETS Application, i.e. Client Contact Compliance, utilization of Periodic Reports in APETS Reports Application, i.e. SPS Supervision Levels by Caseload for supervisory case file reviews, and code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

Intensive Probation Supervision (IPS) Contacts

Pursuant to ACJA § 6-202.01 (N) (3)(a) and (4)(a), (5)(a), (6)(a)

The department has one, two-person and four, one-person IPS teams. For offender and employer contact compliance review, 31 intensive probation cases were reviewed for contact compliance.

A review of the contacts/case notes screens in APETS revealed the overall average for achieving IPS statutory weekly contact requirements was 63 percent during a 12-week period from July 1, 2018 to September 22, 2018. In accordance with ACJA 6-202.01 (N), the following represents IPS probationer contacts for one and two-person IPS teams during the review period:

IPS Contact Summary – One/Two Person IPS Teams												
Requirement Met	Week											
	1	2	3	4	5	6	7	8	9	10	11	12
Yes	14	16	16	13	14	13	13	11	10	8	10	10
No	11	9	9	10	7	7	7	5	6	7	5	5
N/A ¹	6	6	6	8	10	11	11	15	15	16	16	16
Total	31	31	31	31	31	31	31	31	31	31	31	31
% Compliance	56%	64%	64%	57%	67%	65%	65%	69%	63%	53%	67%	67%
Average % Compliance	63%											
Meets Standard	N											

¹NA refers to intensive probationers in jail during the review period or recently transitioned to standard supervision.

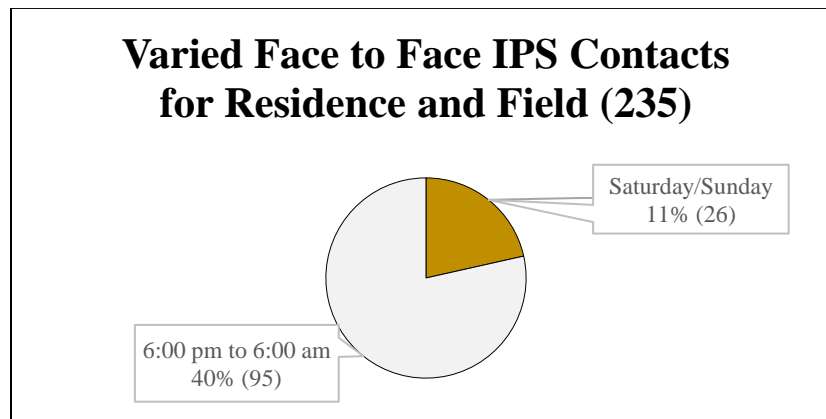
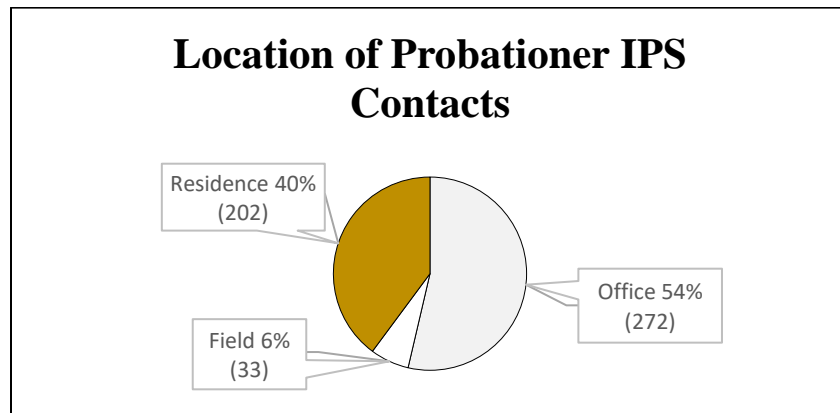
**Navajo County Adult Probation Department
Operational Review Draft Report**

The following represents IPS probationer with employer contacts for the one and two-person IPS teams during the review period:

IPS Contact with Employers – One/Two Person IPS Teams												
Requirement	Week											
Met	1	2	3	4	5	6	7	8	9	10	11	12
Yes	16	16	12	15	13	10	12	10	9	10	9	5
No	0	0	4	1	0	3	0	2	2	0	0	4
N/A¹	3	3	3	3	6	6	7	7	8	9	10	10
Total	19	19	19	19	19	19	19	19	19	19	19	19
% Compliance	100%	100%	75%	94%	100%	77%	100%	83%	82%	100%	100%	56%
Average % Compliance	89%											
Meets Standard	N											

¹NA refers to intensive probationers in jail, residential treatment, unemployed during the review period, or recently transitioned to standard supervision.

A review of the contacts/case notes screen in APETS revealed that during the review period a total of 507 face to face contacts were made with 31 IPS probationers. The first chart below shows the total contacts made per location and the second chart shows the variation of field and residence contacts.



**Navajo County Adult Probation Department
Operational Review Draft Report**

Noteworthy: Although the overall average percent does not meet standard, the AOC, APSD acknowledges that the department did meet standard in seven of the twelve weeks for employer contacts.

Department Response: “The department will update its IPS policy so that it reflects the ACJA requirements and the IPS waiver. The department will also continue to audit IPS case files and provide training to staff as necessary, to ensure that IPS contact requirements are being fully satisfied.”

Required Corrective Action: Please submit a copy of the updated IPS policy that reflects the current ACJA and IPS Waiver requirements. Please provide confirmation of IPS staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of Client Level Reports in APETS Application, i.e. Client Contact Compliance, utilization of Periodic Reports in APETS Reports Application, i.e. IPS Supervision Levels by Caseload for supervisory case file reviews, and code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

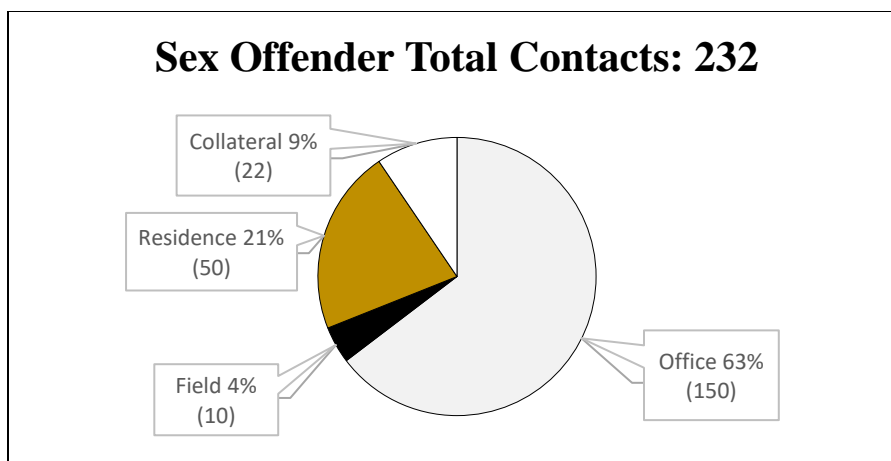
Sex Offender Contacts

Pursuant to ACJA §§ 6-201.01(K)(8)(a), 6-201.01(K)(6) and 6-201.01(K)(4)(a, b)

A review of 33 SPS and 6 IPS sex offender case records was conducted. The period reviewed for contacts was July 2018, August 2018, and September 2018. Of the 33 case records reviewed, 1 was on maximum supervision, 13 were on medium supervision, and 19 minimum supervision. Information in the case file and APETS revealed the following:

Required Supervision Contacts for Sex Offender Cases			
Requirement Met	July 2018	August 2018	September 2018
Yes	34	32	33
No	0	2	1
NA	5	5	5
Total	39	39	39
% Compliance	100%	94%	97%
Meets Standard	Y	Y	Y

**Navajo County Adult Probation Department
Operational Review Draft Report**



Noteworthy: The department did a very good job achieving compliance in all review areas.

Department response: None required

Required Corrective Action: None required

Recommendation: Continue to ensure that contacts with probationers results in minimum code and statute requirement compliance. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

Absconders/Warrants

Pursuant to ACJA § 6-201.01(J)(10)(a-g), ACJA § 6-105.01(E)(2)(g)(1)(3)(4)(5)(6), and A.R.S. § 13-805(C)(1)(2)

Documentation in APETS and case files was reviewed for 30 absconder cases (4 IPS and 26 SPS). At the time of the review the sample of cases to be reviewed was generated and identified as absconders/warrants. Subsequently, some of the probationers may have been apprehended. Nevertheless, these cases were reviewed as an absconder/warrant case. The review findings are listed in the tables below:

Activity to Locate Before Warrant Issued							Meets Standard
Requirements	Yes	No	N/A	Total Cases	% Compliance		
IPS Warrant Requested within 72 Hrs.	1	3	26	30	25%		N
SPS Warrant Requested within 90 days	18	8	4	30	69%		N
S.O. Warrant Requested within 15 days	0	0	30	¹ 30	N/A		NA

**Navajo County Adult Probation Department
Operational Review Draft Report**

Activity to Locate Before Warrant Issued						
Requirements	Yes	No	N/A	Total Cases	% Compliance	Meets Standard
Residence Checked	14	9	7	30	61%	<input type="checkbox"/>
Collaterals Checked	19	7	4	30	73%	<input type="checkbox"/>
Employment Checked	2	10	18	30	17%	<input type="checkbox"/>
Certified Letter Sent ²	4	21	5	30	16%	<input type="checkbox"/>

Activity to Locate After Warrant Issued						
Requirements	Yes	No	N/A	Total Cases	% Compliance	Meets Standard
After warrant issued, criminal history check done	2	22	6	30	8%	<input type="checkbox"/>
Residence Checked	0	19	11	30	0%	<input type="checkbox"/>
Employment Checked	0	12	18	30	0%	<input type="checkbox"/>
Opted-In Victim Notified	2	1	27	30	67%	<input type="checkbox"/>

¹N/A sample did not include Sex Offenders

²Higher Standard per Navajo's Warrants Policy(A)(6)

Requirement Met	CRO Filed Upon the Expiration of 90 Days
Yes	25
No	3
N/A	2
Total	30
% Compliance	89%
Meets Standard	<input type="checkbox"/>

Noteworthy: Not applicable

Department Response: “The department will review and update its QA process to ensure that the department’s warrants policy is being followed. Furthermore, the department will ensure that field supervisors review the warrants policy with staff.”

Required Corrective Action: Please submit a copy of the updated QA process to monitor required warrant activities.

Recommendation: Include in the quality assurance procedure the development and utilization of an absconder/warrant case checklist, use of the Client Tickler screen in APETS to assist in providing 90/60/30 days notification to run warrant checks and file the CRO and supervisory case file reviews and code and statute training.

**Navajo County Adult Probation Department
Operational Review Draft Report**

Sex Offenders

Pursuant to A.R.S. §§ 13-3821, 13-3822, 13-3825, and 13-610

The relevant codes in effect during the review period, ACJA § 6-201.01(K) and ACJA § 6-202.01(N) and (O), which requires residence verification timeframes based on supervision level. At the time of this operational review, cases sentenced prior to January 11, 2017 were reviewed per statute and code in effect during that time, which did not require verification within a specific timeframe.

A review of 36 SPS and 3 IPS sex offender case records was conducted. Information in the case file and APETS revealed the following:

Sex Offenders						
Requirements	Yes	No	N/A	Total Cases	% Compliance	Meets Standard
Initial home visit must occur within 30 days (SPS) and 10 days (IPS)	28	5	6	39	85%	N
Registration within 10 days	12	4	¹ 23	39	75%	N
Address/name change notification change within 72 hours	5	16	18	39	24%	N
Yearly identification	18	21	0	39	46%	N
Treatment Referral to a contracted provider	36	1	2	39	97%	Y
Was DNA sample secured from the probationer and transmitted to DPS within 30 days of being placed on probation or acceptance of incoming ISC	15	2	21	39	88%	N
If it is not the probationer's 1st felony offense did the officer, confirm DNA was in the DPS databank within 30 days of being placed on probation or acceptance of incoming ISC	6	12	21	39	33%	N
DNA screen completed in APETS	39	0	0	39	100%	Y

¹N/A includes initial registrations prior to previous operational review or not required to register.

Noteworthy: The department achieved compliance in two of the eight review areas.

**Navajo County Adult Probation Department
Operational Review Draft Report**

Department Response: “The department will review and update its QA process as necessary to ensure that ACJA standards are being met. Furthermore, the department will conduct training for staff, as necessary, to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of a sex offender (SO) checklist, the Client Ticklers screen in APETS to receive 90/60/30 days notification for SO ID renewal, supervisory case file reviews, code and statute training. Moreover, use APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

Global Positioning System (GPS)

Pursuant to A.R.S. § 13-902(G) and AD 2011-41

The department reported on the Self-Assessment Questionnaire they have no probationers on GPS currently and use BI, Incorporated, for GPS services. At the time of the review, the sample of cases was generated and identified one probationer as GPS. Information in the case file and APETS revealed the following:

GPS						Meets Standard
Requirements	Yes	No	N/A	Total Cases	% Compliance	
GPS attribute marked in APETS	1	0	0	1	100%	<input checked="" type="checkbox"/>
Probationer activated on initial report w/in 72 hours of sentencing/release from custody	0	1	0	1	0%	<input type="checkbox"/>
Probationer activated upon first face to face with probation officer after Court Ordered Modification	0	1	0	1	0%	<input type="checkbox"/>
GPS rules signed by probationer	0	1	0	1	0%	<input type="checkbox"/>
For documented violations, PO initiate immediate response	1	0	0	1	100%	<input checked="" type="checkbox"/>
Responses entered in APETS within 72 hrs.	1	0	0	1	100%	<input checked="" type="checkbox"/>
If absconder, PTR with 72 hours	0	0	1	1	N/A	<input type="checkbox"/>

Noteworthy: The department achieved compliance in three of the six review areas.

**Navajo County Adult Probation Department
Operational Review Draft Report**

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of a New Client checklist, APETS Application External Reports ATT001-Open Client Special Attributes, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

Signed Review/Acknowledgement of Terms and Conditions

Pursuant to **Arizona Rules of Criminal Procedure 27.1**

A review of 83 SPS case records and 31 IPS case records was conducted. Information in the case files revealed the following:

Summary of Review and Acknowledgement forms					
Type of Probation	Yes	No	Total	% Compliance	Meets Standard
SPS	77	6	83	93%	<input checked="" type="checkbox"/> Y
IPS	27	4	31	87%	<input type="checkbox"/> N

Noteworthy: The department achieved compliance in one of the two review areas.

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of a New Client checklist to ensure that initial contact with probationers results in compliance with minimum code and statute requirements.

**Navajo County Adult Probation Department
Operational Review Draft Report**

DNA

Pursuant to **A.R.S. §13-610(C), (D), (G through O)**

A review of 83 SPS case records and 31 IPS case records was conducted. Information in the case files and APETS revealed the following:

SPS DNA

SPS DNA Secured/Transmitted/Verified within 30 days	
Yes	44
No	9
N/A ¹	30
Total	83
% Compliance	83%
Meets Standard	<input type="checkbox"/>

¹N/A includes misdemeanor dispositions, another agency/county responsible for DNA being secured/transmitted/verified or DNA would have been confirmed in an earlier operational review

SPS DNA Confirmed	
If not probationer's 1st felony offense or DNA was previously secured/transmitted and verified by another agency did the officer, confirm DNA was in the DPS databank within 30 days of being placed on probation or acceptance of ISC	
Yes	8
No	2
N/A ¹	73
Total	83
% Compliance	80%
Meets Standard	<input type="checkbox"/>

¹N/A includes misdemeanor dispositions, or case was a 1st offense

IPS DNA

IPS DNA Secured/Transmitted/Verified within 30 days	
Yes	8
No	1
N/A ¹	22
Total	31
% Compliance	89%
Meets Standard	<input type="checkbox"/>

Navajo County Adult Probation Department Operational Review Draft Report

¹N/A includes misdemeanor dispositions, another agency/county responsible for DNA being secured/transmitted/verified or DNA would have been confirmed in an earlier operational review

IPS DNA Confirmed	
If not the probationer's 1st felony offense or if DNA was previously secured/transmitted and verified by another agency did the officer, confirm DNA was in the DPS databank within 30 days of being placed on probation or acceptance of ISC	
Yes	4
No	1
N/A ¹	26
Total	31
% in Compliance	80%
Meets Standard	<input type="checkbox"/>

¹N/A includes misdemeanors, another agency/county responsible for DNA being secured/transmitted/verified or confirmed in an earlier operational review

Noteworthy: Not applicable

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of a New Client checklist, APETS Application External Reports QA DNA001-Client DNA Verification, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

VICTIMS' RIGHTS

Pursuant to **ACJA § 6-103(E)(4)**, **A.R.S. §§ 13-4415 (A)(1-3)** and **13-4415 (B)(1-5)**

A review of 83 SPS case records and 31 IPS case records was conducted. Information in the case files and APETS revealed the following:

**Navajo County Adult Probation Department
Operational Review Draft Report**

SPS Victim Contacts

SPS - Victim Contact			
Requirement Met	Pre-sentence Contact	Victim Opt-In	Notice of Changes Given
Yes	27	7	3
No	0	23	0
N/A	56	53	80
Total	83	83	83
% Compliance	100%	N/A	100%
Meets Standard	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

IPS Victim Contacts

IPS – Victim Contact			
Requirement Met	Pre-sentence Contact	Victim Opt-In	Notice of Changes Given
Yes	14	3	2
No	0	13	0
N/A	17	15	29
Total	31	31	31
% Compliance	100%	N/A	100%
Meets Standard	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Noteworthy: The department did a great job in achieving 100 percent compliance in all the review areas.

Department Response: None required

Required Corrective Action: None required

Recommendation: Continue the great work in this review area.

OFFENDER ACCOUNTABILITY

The enforcement of court-ordered financial obligations such as restitution and probation service fees (PSF) and community restitution orders (CRO) are integral parts of probation supervision, the absence of which undermines probationer accountability and mitigates the sentence imposed. During the operational review, intensive and standard probation case files were reviewed to assess the department's enforcement of financial obligations and CROs.

SPS Financials

Pursuant to ACJA § 6-103(E)(4)(I), A.R.S. § 13-901

**Navajo County Adult Probation Department
Operational Review Draft Report**

A review of 83 case records was conducted.

Standard Probation Service Fees (PSF)	
Requirement Met	Delinquency Addressed
Yes	24
No	33
N/A	26
Total	83
% in Compliance	42%
Meets Standard	N

The following table is for informational purposes only:

Standard Probation Service Fees (PSF)	
Requirement Met	PSF Current
Yes	7
No	57
N/A	19
Total	83
% Compliance	N/A
Meets Standard	NA

A review of 83 case records was conducted. Restitution was ordered in 12 of the 83 cases. Information in the case file/financial file/APETS and information from the department revealed the following:

Standard Restitution			
Requirement Met	Restitution Current	Court Notified	Opted-in Victim Notified
Yes	3	5	1
No	9 ¹	4 ¹	1 ²
Total	12	9	2
% Compliance	N/A	56%	50%
Meets Standard	NA	N	N

¹Court/victim notification documentation of delinquent restitution not found in case file or Contacts/Case Notes in APETS.

²Victim not opted in.

Noteworthy: Not applicable

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

**Navajo County Adult Probation Department
Operational Review Draft Report**

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure scheduled refresher training and regular supervisory case file reviews to ensure timely notification to the Court and opted-in victims of probationer arrearages in restitution, and to increase efforts regarding enforcement of financial orders. Utilize APETS case notes to document completion of all code and statute requirements, i.e. the monitoring and immediate address of any arrearage.

IPS Financials

Pursuant to ACJA § 6-103(E)(4)(i) and A.R.S. § 13-901

Intensive Probation Service Fees (PSF)	
Requirement Met	Delinquency Addressed
Yes	14
No	14
N/A	3
Total	31
% in Compliance	50%
Meets Standard	N

The following table is for informational purposes only:

Intensive Probation Service Fees (PSF)	
Requirement Met	PSF Current
Yes	3
No	28
N/A	0
Total	31
% in Compliance	N/A
Meets Standard	NA

A review of 31 case records was conducted. Restitution was ordered in two of the 31 cases. Information in the case file/financial file/APETS and information from the department revealed the following:

**Navajo County Adult Probation Department
Operational Review Draft Report**

IPS Restitution			
Requirement Met	Restitution Current	Court Notified	Opted in Victim Notified
Yes	1	1	0
No	1 ¹	0 ¹	1 ¹
Total	2	1	1
% Compliance	N/A	100%	0%
Meets Standard	NA	Y	N

¹Court/victim notification of delinquent restitution not found in files/no documentation Contacts/Case Notes in APETS. Restitution is “delinquent” where payments are in arrears two or more months.

Noteworthy: The department achieved compliance in one of the three review areas.

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure scheduled refresher training and regular supervisory case file reviews to ensure timely notification to the Court and opted-in victims of probationer arrearages in restitution, and to increase efforts regarding enforcement of financial orders. Utilize APETS case notes to document completion of all code and statute requirements, i.e. the officer monitoring and immediately addressing any arrearage.

IPS Collection of Probationer Wages

Pursuant to **A.R.S. § 13-918(B)**

The Chief Probation Officer shall establish an IPS checking account in accordance with statute, which requires IPS probationers to submit their wages to the department. After payment is made, the remaining balance is returned to the probationer that afternoon or the following day. A summary of offenders’ financial status shall be maintained in the case record. Below are the findings for the 31 IPS files reviewed.

**Navajo County Adult Probation Department
Operational Review Draft Report**

Paychecks/Wages Submitted by Probationers on IPS			
Wages Submitted	April 2018	May 2018	June 2018
Yes	12	10	10
No	5	8	8
Total	17	18	18
N/A¹	14	13	13
% Compliance	71%	56%	56%
Meets Standard	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹Wages not applicable for unemployed probationers, students, or disabled probationers

Noteworthy: Not applicable

Department Response: None required

Required Corrective Action: None required. Due to the IPS code revisions effective October 3, 2018, the collection of wages is no longer required.

Recommendation: Utilize APETS case notes to document that probation officers are ensuring the collection of monies owed, as a condition of probation, and immediately addressing any arrearage.

SPS Community Restitution (CR) Hours

Pursuant to ACJA §§ 6-201.01(J)(1)(h), 6-201.01(K)(5)(d), (7)(c), and (8)(d)

A review of 83 case records was conducted. A monthly breakdown of CR hours compliance for the review period is illustrated below:

SPS Monthly Community Restitution Requirement Met				
CR Hours Completed	April 2018	May 2018	June 2018	Delinquency Addressed
Yes	8	12	11	5
No	26	22	25	23
N/A ¹	49	49	47	55
Total	83	83	83	83
% Compliance	24%	35%	31%	18%
Meets Standard	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹CR hours were: not ordered, discretionary, or completed prior to the review period.

Noteworthy: Not applicable.

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

**Navajo County Adult Probation Department
Operational Review Draft Report**

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of APETS Report Application CWS (Community Restitution) Report, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

IPS Community Restitution (CR) Hours

Pursuant to A.R.S. § 13-914(E)(6), and ACJA § 6-202.01(I)(1)

A review of 31 case records was conducted. A monthly breakdown of CR hours compliance for the review period is illustrated below:

IPS Monthly Community Restitution Requirement Met				
Hours Completed	April 2018	May 2018	June 2018	Delinquency Addressed
Yes	15	16	14	10
No	10	11	13	9
N/A ¹	6	4	4	12
Total	31	31	31	31
% Compliance	60%	59%	52%	53%
Meets Standard	N	N	N	N

¹probationer was in prison, jail, treatment, hospital, missing, or CR hours were waived

Noteworthy: Not applicable

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of APETS Report Application CWS (Community Restitution) Report, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

**Navajo County Adult Probation Department
Operational Review Draft Report**

CASE MANAGEMENT

SPS Residence and Employment Verification

The relevant code in effect during the review period, ACJA § 6-201.01(K), requires residence verification timeframes based on supervision level but employment verification is also necessary. At the time of this Operational Review, cases sentenced prior to January 11, 2017 were reviewed per statute and code in effect during that time, which did not require verification within a specific timeframe. However, best practice indicates this should be completed within 30 days of sentencing/release from custody as it will provide the officer with insight into a probationer's needs and overall situation.

Not all probation officers use the Employment History screens in APETS to document the date verified for employment verification. Therefore, the operational review team read through the contact notes for each case to determine compliance.

The following table shows the number of residence and employment verifications conducted for the 83 case records reviewed (62 high and medium risk, 20 low risk). Per the departments policy, a higher standard applies for low risk probationers, specifically, residence verification must be completed within 30 days.

Standard Supervision – Residence & Employment Verification			
	Residence Verification w/in 30 Days (High and Medium Risk)	Residence Verification w/in 30 Days (Low Risk)	Employment Verification as Necessary
Yes	50	16	34
No	12	4	4
N/A	21	63	45
Total	83	83	83
% Compliance	81%	80%	89%
Meets Standard	N	N	N

¹NA includes verifications completed prior to previous operational review or offenders who had a change in supervision level.

Noteworthy: Not applicable

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

**Navajo County Adult Probation Department
Operational Review Draft Report**

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of a New Client checklist, the Client Ticklers screen in APETS which would assist in providing set notifications to complete required tasks, APETS QA Reports, supervisory case file reviews, code and statute training. APETS case notes and other appropriate APETS screens should be utilized to document completion of all code and statute requirements.

SPS OST/FROST Timeline Compliance

Pursuant to ACJA §§ 6-201.01(J)(5)(a)(1) and 6-105.01(E)(2)(b)(1)(g)

At the time of this operational review, cases sentenced prior to January 11, 2017 were reviewed per code in effect during that time which required a reassessment every 180 days. Cases sentenced on or after January 11, 2017 were reviewed per current code which requires a reassessment 12 months from the initial assessment.

The results for the 83 SPS case records reviewed are listed in the table below.

Offender Screening Tool (OST) Completed within 30 days	
Yes	52
No	7
N/A ¹	24
Total	83
% Compliance	88%
Meets Standard	<input checked="" type="checkbox"/>

¹N/A includes cases with a probation start date prior to previous operational review or initial assessment completed by another department.

The results for the 83 SPS case files reviewed are listed in the table below:

Reassessment (FROST)¹ per Code prior to 1/11/17 or Code requirement on or after 1/11/17	
Yes	65
No	57
N/A ²	294
Total	416
% Compliance	53%
Meets Standard	<input type="checkbox"/>

¹The FROSTs for the past three years were reviewed.

²N/A includes reassessments completed by another department, reviewed during a previous op review, or not required during this op review period.

Noteworthy: Not applicable

**Navajo County Adult Probation Department
Operational Review Draft Report**

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of the Client Ticklers screen in APETS which would assist in providing 90/60/30-day notifications to complete assessments, APETS QA Reports, supervisory case file reviews, code and statute training. APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

SPS Assessment Score Matching Supervision Level

Pursuant to ACJA § 6-105.01(E)(2)(b)(1)(c)

The team reviewed supervision levels of the selected cases to determine if they agreed with assessment or reassessment scores. The post-sentence supervision assignment sheet (updated in January 2010) requires that assessment scores of 0-5 (males) and 0-8 (females) be supervised under standard, minimum supervision requirements. Assessment scores of 6–17 (males), 9-20 (females) will be supervised under the standard, medium supervision requirements, and assessment scores of 18 and higher (males) and 21 and higher (females) will be supervised under the standard, maximum supervision requirements.

Each of the 83 SPS cases were compared to the above standards using the current supervision level and OST/FROST. The results are outlined below:

Supervision Level Matches Assessment Scores for Standard Supervision			
Requirement Met	Maximum	Medium	Minimum
Yes	12	38	25
No	4	3	1
N/A ¹	0	0	0
Total	16	41	26
% in Compliance	75%	93%	96%
Meets Standard	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

¹Most recent risk score was not in the case file and/or APETS

Noteworthy: The department achieved compliance in two of the three review areas.

**Navajo County Adult Probation Department
Operational Review Draft Report**

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of APETS Report Application County Population by Risk Report, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

SPS Case Plan

Pursuant to ACJA §§ 6-201.01(J)(5)(a)(4), 6-201.01(J)(5)(a)(7-8), and 6-201.01(J)(1)(l)

At the time of this operational review, cases sentenced prior to January 11, 2017 were reviewed per code in effect during that time, which required a follow-up case plan every 180 days. Cases sentenced on or after January 11, 2017 were reviewed per current code, which requires a follow-up case plan, 12 months from the initial case plan. An important aspect of case planning is to ensure that probationers are included in the development of goals and strategies. The probationer is a valuable resource in identifying solutions to the needs targeted on the OST or FROST. Minimum level supervision cases were reviewed to determine if a case plan was completed if required.

The table below shows the department’s compliance regarding an initial case plan and follow-up case plans. Of the 83 cases reviewed, 26 were minimum level supervision cases.

SPS Case Plans ¹						
Requirements	Yes	No	N/A ²	Total	% Compliance	Meets Standard
Initial completed within 60 days	25	31	27	83	45%	N
Follow-up completed per Code prior to January 11, 2017 or per current Code as of January 11, 2017	35	47	333	415 ³	43%	N
If minimum supervision level, was a case plan completed as required	2	0	81	83	100%	Y

¹The CP for the past three years were reviewed for each applicable case file.

²Another agency/county responsible for initial CP, and/or follow-up CP, CP not necessary for the applicable case and/or CP not necessary at the time of the operational review or would have been verified in an earlier operational review.

³Follow-up CP completed as required per individual case.

Noteworthy: The department did an excellent job documenting a case plan, as needed, for

**Navajo County Adult Probation Department
Operational Review Draft Report**

minimum level supervision cases.

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of the Client Ticklers screen in APETS which would assist in providing 90/60/30day notifications to complete case plans, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

SPS Case Plan Signatures

Pursuant to **ACJA § 6-201.01(J)(5)(a)(4)**

Case plan signatures indicate the probationer and supervising officer are aware of the goals to be addressed during each contact and that the probationer participated in the case planning. The results for the 83 SPS case files reviewed are displayed below:

Most Recent Case Plan Contains Required Signatures	
Yes	39
No	16
N/A ¹	28
Total	83
% Compliance	71%
Meets Standard	<input checked="" type="checkbox"/>

¹N/A includes low risk not needing a CP and cases not containing a current CP

Noteworthy: Not applicable

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

**Navajo County Adult Probation Department
Operational Review Draft Report**

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure supervisory case file reviews, code and statute training.

SPS Low Risk Annual Review

Pursuant to **AJCA 6-201.01(J)(5)**

The table below shows the department's compliance regarding case file reviews for probationers assessed as low risk every year. Of the 83 cases reviewed, 26 were minimum level supervision cases.

SPS Low Risk Supervision Level Annual Review	
Yes	0
No	18
N/A	8
Total	26
% Compliance	0%
Meets Standard	<input type="checkbox"/>

Noteworthy: Not applicable

Department Response: "The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed."

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of the Client Ticklers screen in APETS which would assist in providing 90/60/30-day notifications to complete criminal history checks, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

**Navajo County Adult Probation Department
Operational Review Draft Report**

IPS

Photo in File

Pursuant to ACJA § 6-202.01(P)(2)(c)

Verification of Employment

Pursuant to ACJA § 6-202.01(N)(3)(b), (4)(b), (5)(b), (6)(b)

Verification of Job Search and Verification of Community Restitution

Pursuant to A.R.S. § 13-914(E)(1) and A.R.S. § 13-914(E)(6)

Verification of Residence

Pursuant to ACJA § 6-202.01(N)(3)

☒ The relevant code in effect during the review period, ACJA § 6-202.01(N)(3), requires an initial contact at the residence within 10 days of sentencing or release from incarceration. *During the review period (cases sentenced prior to January 11, 2017)*, there is no statute, code, or departmental policy regarding IPS residence verification. However, best practices indicate this should be completed within 72 hours of sentencing/release from custody as it will provide the officer with insight into a probationer's needs and overall situation.

☐ The relevant code in effect during the review period, ACJA § 6-202.01(O) Waiver Provisions, requires home contacts to be random and varied, none are specifically directed at verification upon placement on probation or release from custody. *During the review period (cases sentenced prior to January 11, 2017)*, there is no statute, code, or departmental policy regarding IPS residence verification. However, best practices indicate this should be completed within 72 hours of sentencing/release from custody as it will provide the officer with insight into a probationer's needs and overall situation.

Intensive Probation Cases				
Requirement Met	Photo in File	Employment Verified w/in 10 Days	Job Search/CR Verification for Review Period	Residence Verified w/in 10 Days
Yes	30	19	2	30
No	1	4	5	1
N/A	0	8 ¹	24 ²	0 ³
Total	31	31	31	31
% Compliance	97%	83%	29%	97%
Meets Standard	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

¹N/A includes job search or disabled probationers

²N/A includes employed, full-time student, in treatment

³N/A includes reinstatements to IPS

**Navajo County Adult Probation Department
Operational Review Draft Report**

Noteworthy: The department did a very good job ensuring a photo of the probationer was in the case file, and the residence was verified within 10 days.

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure development and utilization of an IPS checklist, the use of APETS QA Reports, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

Verification of IPS Schedules

Pursuant to **A.R.S. § 13-914(E)(4)**

For the three-month period as noted in the table below, 31 files were reviewed for the presence of probationers’ schedules. At the time of this review, to be counted as completed for the month, schedules for all four weeks must have been completed in detail and in the case file.

IPS Schedules Submitted			
Four Schedules/Month	April 2018	May 2018	June 2018
Yes	25	26	28
No	1	2	0
N/A	5	3	3
Total	31	31	31
% Compliance	96%	93%	100%
Meets Standard	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

¹N/A refers to intensive probationers in jail, DOC, residential treatment, or recently transitioned to standard supervision.

Noteworthy: The department did a great job in achieving compliance in all review areas.

Department Response: None required

Required Corrective Action: None required

**Navajo County Adult Probation Department
Operational Review Draft Report**

Recommendation: Continue to ensure that probationer contacts result in minimum code and statute requirement compliance. Utilize APETS case notes and other appropriate APETS screens should to document completion of all code and statute requirements.

IPS OST/FROST and Case Plan

Pursuant to ACJA §§ 6-105.01(E)(2)(b)(1)(a), 6-105.01(E)(2)(b)(1)(g), 6-202.01(L)(2)(c), 6-202.01(L) (2) (h), and 6-202.01(L) (2) (c)

Per the January 11, 2017 code revision, initial assessments and reassessments completed on or after this date were reviewed using the 30 days/12-month requirement. Initial assessments and reassessments completed prior to January 11, 2017 were reviewed according to the 30 days/180-day requirement.

A review of 31 case files revealed the following:

Requirement Met	Initial Assessment (OST) w/in 30 days or at PSI	Reassessment (FROST) ¹ per Code requirement prior to 1/11/17 or Code requirement on or after 1/11/17
Yes	9	42
No	1	14
N/A ²	21	130
Total	31	186
% Compliance	90%	75%
Meets Standard	<input checked="" type="checkbox"/>	<input type="checkbox"/>

¹The FROSTs for the past three years were reviewed.

²N/A includes offenders reinstated to IPS or OST completed by another agency/department.

IPS Case Plans ¹							Meets Standard
Requirements	Yes	No	N/A ²	Total	% Compliance		
Initial completed within 30 days	3	11	17	31	21%		<input type="checkbox"/>
Follow-up completed per Code requirement prior to 1/11/17or Code requirement on or after 1/11/17	28	13	114	155	68%		<input type="checkbox"/>
Required signatures obtained	27	4	0	31	87%		<input type="checkbox"/>

¹The case plans for the past three years were reviewed.

²Another agency/county responsible for initial case plan, and/or follow-up case plan, case plan not necessary for the applicable case and/or case plan not necessary at the time of the operational review or would have been verified in an earlier operational review.

Noteworthy: The department did an excellent job in achieving 100 percent compliance in the Initial Assessment review area.

**Navajo County Adult Probation Department
Operational Review Draft Report**

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the utilization of the Client Ticklers screen in APETS which would assist in providing 90/60/30day notifications to complete case plans, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

Incoming Interstate

Pursuant to ACJA § 6-204.01(J)(5)(a), A.R.S § 31-467.06, and Interstate Commission for Adult Offender Supervision (ICAOS) Rule 4.106(a), ICAOS Rule 3.103 (c) and Rule 3.106 (b)

The table below lists the results of the review of 16 incoming ISC cases files.

ISC Incoming						
Requirements	Yes	No	N/A	Total	% Compliance	Meets Standard
Were the Arizona Conditions Signed	16	0	0	16	100%	<input type="checkbox"/> Y
Is VCAF on Arizona Terms & Conditions	9	7	0	16	56%	<input type="checkbox"/> N
Sending State's Terms & Conditions in	15	1	0	16	94%	<input type="checkbox"/> Y
Interstate Tracking Screen Completed in	16	0	0	16	100%	<input type="checkbox"/> Y
ISC Status Accurate in APETS (Accepted,	16	0	0	16	100%	<input type="checkbox"/> Y
If VCAF collections are not current, has	13	3	0	16	81%	<input type="checkbox"/> N
the PO addressed						
DNA Collected Within 30 Days	2	4	10	16	33%	<input type="checkbox"/> N
OST Within 30 Days of Arrival or	5	11	0	16	31%	<input type="checkbox"/> N
ICP Within (60 days for SPS and 30 days	3	12	1	16	20%	<input type="checkbox"/> N
for IPS) of Arrival or Acceptance						

For Informational purposes only in relation to VCAF monies owed to Arizona

ISC Incoming Monies Owed	Yes	No	N/A	Total	% Compliance
Are VCAF collections current	4	11	1	15	27%

**Navajo County Adult Probation Department
Operational Review Draft Report**

Noteworthy: The department achieved compliance in four of the nine review areas.

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure utilization of an Incoming ISC checklist, the use of APETS QA Reports, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

Outgoing Interstate

Pursuant to ACJA § 6-204.01(J)(5)(a)

The table below lists the results of the review of 30 Outgoing ISC case records.

ISC Outgoing						Meets Standard
Requirements	Yes	No	N/A	Total	% Compliance	
ISC status accurate (accepted, closed, etc.), ICOTS & APETS match	21	9	0	30	70%	<input type="checkbox"/>
Did probationer leave with valid reporting instructions	29	1	0	30	97%	<input type="checkbox"/>
Did the PO respond to violation reports within 10 business days	0	1	29	1	0%	<input type="checkbox"/>
Was DNA sample secured from the probationer and transmitted to DPS within 30 days of being placed on probation or prior to departing from AZ through ISC	22	6	2	30	79%	<input type="checkbox"/>

**Navajo County Adult Probation Department
Operational Review Draft Report**

ISC Outgoing						Meets Standard
Requirements	Yes	No	N/A	Total	% Compliance	
If it is not the probationer's 1st felony offense or if DNA was previously secured by another agency did the officer, verify DNA was in the DPS databank within 30 days of being placed on probation or prior to departing from AZ through ISC	0	2	28	30	0%	<input type="checkbox"/>
DNA screen completed in APETS	30	0	0	30	100%	<input checked="" type="checkbox"/>
Was the Opted-in Victim notified of ISC and any other probation status issues	1	0	29	30	100%	<input checked="" type="checkbox"/>

Noteworthy: The department did an excellent job in achieving compliance in three of the seven review areas, with 100 percent compliance in two of the seven areas.

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure out-of-state address notification during PSI, development and utilization of an Outgoing ISC checklist which includes victim notification, DNA collection, travel permit, etc., the use of APETS reports such as QA DNA001-Client DNA Verification and APETS QA Reports, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

For informational purposes only in relation to Court monies owed to Arizona

Outgoing ISC Monies Owed	Yes	No	N/A	Total	% Compliance
Is money owed to Arizona	26	4	0	30	87%
Are payments current	2	24	4	30	8%

Noteworthy: Not applicable

**Navajo County Adult Probation Department
Operational Review Draft Report**

Department response: None required

Required Corrective Action: None required

Recommendation: Although the team could not determine whether officers were following up with probationers regarding payments, the department may want to establish a review process for probationer payments. The following is recommended to help establish a review process for payments, officers assigned to monitor outgoing accepted probationers for the department need to run financials every 60 days, more frequently for probationers who owe victim restitution, and if an offender is in arrears do the following:

- Check ICOTS for address and employment information and attempt to contact the probationer
- Follow local policies and procedures for sending a letter, etc. to make the probationer aware of his court-ordered financial obligations, resend payment balances, monthly amount due, address where to mail the payment, etc.
- In compliance with ACJA, memo the court for all probationers who are 60 days or more in arrears in restitution payments
- Submit a Compact Action Request via ICOTS to the receiving state to request assistance with the offender pursuant to ICAOS Rule 4.108 b.
- If after all attempts to collect monies have failed, memo the local court to ascertain whether a status hearing or revocation hearing is appropriate and consider a discretionary retaking under Rule 5.101

Closed

Pursuant to A.R.S. §§ 12-253 (2) and (7), 13-4415 (A)(1-3), 13-4415 (B)(1-5), 13-610(C), (D) and (G through O), 13-902(C), 13-805(A)(1)(2), and ACJA § 6-201.01(J)(5)(a)(12)

The table below list the results of the 30 cases that were reviewed:

Closed						
Requirements	Yes	No	N/A	Total	% Compliance	Meets Standard
Warrant Check Before Termination	7	18	5	30	28%	<input type="checkbox"/>
Court Ordered Treatment Completed	14	0	16	30	100%	<input checked="" type="checkbox"/>
Order of Discharge in file	15	12	3	30	56%	<input type="checkbox"/>
Restitution Owed at Closure	2	2	26	30	N/A	<input type="checkbox"/>
Extended for Restitution	0	0	30	30	N/A	<input type="checkbox"/>
Other financial terms owed at closure	22	8	0	30	N/A	<input type="checkbox"/>
CRO Entered for Outstanding Financial Balances	23	0	7	30	100%	<input checked="" type="checkbox"/>

**Navajo County Adult Probation Department
Operational Review Draft Report**

Closed						
Requirements	Yes	No	N/A	Total	% Compliance	Meets Standard
Opted-In Victim Notified of Closure	4	0	26	30	100%	<input checked="" type="checkbox"/>
CR hours required by Statute completed by Closure	5	1	24	30	83%	<input type="checkbox"/>
DNA collected/verified	24	0	6	30	100%	<input checked="" type="checkbox"/>

Noteworthy: The department did a very good job in achieving 100 percent compliance in four of the ten review areas.

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the development and utilization of a Closed Case checklist, the use of the Client Ticklers screen in APETS which would assist in providing 90/60/30-day notifications to run warrant checks, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

TREATMENT SERVICES

SPS Treatment Referrals

Pursuant to ACJA § 6-201.01(J)(5)(b)

A review of 83 case records was conducted. Information in the case file and APETS revealed the following:

SPS Treatment Referral	
Requirement Met	Referral w/in 60 days
Yes	50
No	4
N/A	29
Total	83
% Compliance	93%
Meets Standard	<input checked="" type="checkbox"/>

**Navajo County Adult Probation Department
Operational Review Draft Report**

Noteworthy: The department did a great job achieving 93 percent compliance in this review area.

Department response: None required

Required Corrective Action: None required

Recommendation: Continue to ensure that initial contact with probationers results in minimum code and statute requirement compliance. Adherence to APETS 90/60/30-day notifications will also assist in continued compliance. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

IPS Treatment Referrals

Pursuant to **ACJA § 6-202.01(L)(2)(o).**

A review of 31 case records was conducted. Information in the case file and APETS revealed the following:

IPS Treatment Referral	
Requirement Met	Referral w/in 30 days
Yes	29
No	1
N/A	1
Total	31
% Compliance	97%
Meets Standard	<input checked="" type="checkbox"/>

Noteworthy: The department did a very good job achieving 97 percent compliance in this review area.

Department response: None required

Required Corrective Action: None required

Recommendation: Continue to ensure that initial contact with probationers results in minimum code and statute requirement compliance. Adherence to APETS 90/60/30-day notifications will also assist in continued compliance. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

Transferred Youth

A transferred youth (TY) is a juvenile who committed an offense and was:

- a. Transferred to the adult court via a transfer hearing or

**Navajo County Adult Probation Department
Operational Review Draft Report**

- b. Charged in the adult court (direct filed) while still a juvenile.

There are no ACJA codes or directives regarding TY. However, the AOC and the probation departments are working on developing guidelines for supervision of youthful offenders (based on evidence-based practices) to assist the departments in addressing the needs of this population.

Statutes relating to TY are: A.R.S. §§ 8-322, 8-327, 13-501, 13-504, 13-921, 13-923, 13-3821, 13-3822, 8-302, and 13-350.01

ACJA codes relating to transferred youth on probation: ACJA §§ 6-201.01, 6-202.01 and 6-105.01

Documentation in APETS and case files was reviewed for two transferred youth cases (one IPS and one SPS cases). The review findings are listed in the table below.

Transferred Youth						
Requirements	Yes	No	N/A	Total	% Compliance	Meets Standard
OST within 30 days	1	0	1	2	100%	<input checked="" type="checkbox"/>
FROST within 180 days (12 months)	0	1	1	2	0%	<input type="checkbox"/>
Initial case plan within 60 days of sentencing/release from custody/acceptance	1	0	1	2	100%	<input checked="" type="checkbox"/>
Risk score agree with supervision level	2	0	0	2	100%	<input checked="" type="checkbox"/>
Completed treatment	1	0	1	2	100%	<input checked="" type="checkbox"/>
Screened for Title 19 or 21 (AHCCCS)	0	2	0	2	0%	<input type="checkbox"/>

For informational purpose only, not a compliance issue.

Summary	Yes	No	N/A	Total	% Compliance
Probationer has GED/high school diploma	0	2	0	2	0%
Enrolled in school	0	2	0	2	0%
Enrolled in GED classes	0	2	0	2	0%
Employed	0	2	0	2	0%
Was treatment court ordered	1	1	0	2	50%
Positive reinforcements used	1	0	1	2	100%
Intermediate sanctions used	1	0	1	2	100%
Petition to Revoke (PTR) filed	1	0	1	2	100%
Incarcerated as a result of PTR	1	0	1	2	100%

**Navajo County Adult Probation Department
Operational Review Draft Report**

Summary	Yes	No	N/A	Total	% Compliance
Is the probationer a sex offender	1	0	1	2	N/A
If yes, has an annual court hearing (only for sex offenders) been requested by the probationer	0	0	2	2	N/A

Noteworthy: The department did an excellent job in achieving 100 percent compliance in four of the six required review areas.

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure the development and utilization of a New Client checklist, APETS QA Reports, the use of the Client Ticklers screen in APETS which would assist in providing notification to address education and treatment needs, supervisory case file reviews, and code and statute training. Utilize APETS case notes and other appropriate screens to document completion of all code and statute requirements.

SPS Drug Testing

Pursuant to **ACJA § 6-201.01 (J)(1)(f)**

A review of 83 case records was conducted. Information in the case file and APETS revealed the following:

SPS Drug Testing		
Requirement Met	Frequency Described in Case Plan/Record	Completed as Described
Yes	11	11
No	0	0
N/A	72	72
Total	83	83
% Compliance	100%	100%
Meets Standard	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

**Navajo County Adult Probation Department
Operational Review Draft Report**

Noteworthy: The department did a very good job achieving 100 percent compliance in the two review areas.

Department Response: None required

Required Corrective Action: None required

Recommendation: Continue the great work in this review area.

IPS Drug Testing

Pursuant to ACJA § 6-202.01(L)(2)(e)

A review of 31 case records was conducted. Information in the case file and APETS revealed the following:

IPS Drug Testing		
Requirement Met	Frequency Described in Case Plan/Record	Completed as Described
Yes	8	8
No	0	0
N/A	23	23
Total	31	44
% Compliance	100%	100%
Meets Standard	Y	Y

Noteworthy: The department did a very good job achieving 100 percent compliance in the two review areas.

Department Response: None required

Required Corrective Action: None required

Recommendation: Continue the great work in this review area.

Drug Treatment and Education Fund (DTEF)

Pursuant to A.R.S. § 13-901.01, A.R.S. § 13-901.02, ACJA § 6-205(G)(1)(c)

The department reported on the Self-Assessment Questionnaire that for fiscal year 2018 DTEF funding was not utilized for 1st or 2nd time offenders.

For purposes of the operational review, 24 cases that were considered DTEF cases pursuant to

**Navajo County Adult Probation Department
Operational Review Draft Report**

A.R.S 13-901.01 (A)(F) were reviewed.

DTEF Cases					
13-901.01 (A) & (F)	12				
13-901.01 (D)	12				
DTEF Cases					
Requirement	Yes	No	N/A	% Compliance	Meets Standard
Mandatory Case (A’s & F’s): At minimum, received substance abuse evaluation (Navajo County)	11	1	12	92%	<input checked="" type="checkbox"/>
Discretionary Case (D): At minimum, probationer that scored 60% received drug abuse evaluation (Navajo County)	9	0	15	100%	<input checked="" type="checkbox"/>
AOC approved Ability to pay form completed and in file	2	16	6	11%	<input type="checkbox"/>
Drug treatment or education, referral made within 30 days IPS, 60 days SPS	24	0	0	100%	<input checked="" type="checkbox"/>
DTEF Funded	8	9	7	N/A	<input type="checkbox"/>
Other Methods of Payments	Yes	No	DTEF	% Compliance	Meets Standard
Other methods (AHCCCS, private pay, private insurance, etc.)	14	2	8	N/A	<input type="checkbox"/>

Noteworthy: The department did a good job in achieving compliance in three of the four required review areas.

Department Response: “The department will review and update its QA process, using the recommendations below, to ensure that ACJA standards are being met. Furthermore, the department will ensure that staff are trained to ensure that ACJA standards are understood and followed.”

Required Corrective Action: Please submit a copy of the updated QA process to ensure that ACJA standards and statute requirements are being met. Please provide confirmation of staff training once completed.

Recommendation: Contact the AOC, APSD for assistance with code training. Include in the quality assurance procedure may include the utilization of DTEF Reports/DTEF Report Card in APETS, appropriate screens, i.e. AHCCCS Tracking screen, Client Services/DTEF screen and Initiate Court Data screen, supervisory case file reviews, code and statute training. Utilize APETS case notes and other appropriate APETS screens to document completion of all code and statute requirements.

**Navajo County Adult Probation Department
Operational Review Draft Report**

ACKNOWLEDGEMENTS

The Adult Probation Services Division (APSD) of the Administrative Office of the Courts (AOC) appreciated the professionalism, collaboration, hospitality, and patience of the Navajo County Adult Probation staff throughout the operational review process.

The department did an excellent job with the overall organization of the files. Moreover, the operational review team sincerely appreciates the Chief Probation Officer's willingness to participate in operational review pilots and optional case file review opportunities.

Additional praiseworthy review areas include pre and post-employment practices, staff training, COJET, Victim Rights, treatment referrals, Sex Offender contacts, and excellent organization of case files.

Finally, the department submitted a thorough and complete Self-Assessment Questionnaire (SAQ), responded to all questions/requests for additional information, was open and responsive throughout the review process.

COMPLIANCE SUMMARY COMPARISON		
ADMINISTRATION AND MANAGEMENT		
	2014	2019
Employment		
Verification of Bachelor's Degree for PO	100%	100%
Verification High School Diploma/GED for SO	N/A	100%
National and State Criminal History Check Before Hire	67%	100%
Before hire, driving records check through Arizona & Other States of Residence Check	78%	100%
Officer Certification/COJET/Training Requirements		
8 Hours of Officer Safety Training within 30 Days of Appointment	38%	100%
Completion of PO Certification Academy within 1 Year of Hire Date	100%	100%
Certification Requested by CPO within 1 Year of Hire Date	100%	0%
Completion of IPS Academy within 1 Year of Hire Date	100%	100%
Biannual Criminal History & MVD Check		
Criminal History Check Every 2 Years	67%	100%
Annual MVD Check	83%	100%
Pre-sentence Reports on Time	100%	98%
COMMUNITY PROTECTION		
SPS Supervision Contacts		
Minimum Level	59%	100%
Medium Level	66%	86%
Maximum Level	59%	75%

**Navajo County Adult Probation Department
Operational Review Draft Report**

IPS Supervision Contacts

Contacts with Probationers	76%	63%
Contact with Employers	46%	89%

Sex Offender Contacts

N/A	97%
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Sex Offender Requirements

Registration within 10 Days	60%	75%
Verify residence within 30 days (SPS), 72 hours (IPS)	N/A	85%
Address/Name Change Notification Change within 72 hours	15%	24%
Yearly Identification	21%	46%
Was DNA sample secured from the probationer and transmitted to DPS within 30 days of being placed on probation or acceptance of incoming	80%	88%
If it is not the probationer's 1st felony offense did the officer verify DNA was in the DPS databank within 30 days of being placed on probation or acceptance of incoming	N/A	33%
DNA screen completed in APETS	N/A	100%
Referred to Treatment	84%	97%

GPS Compliance

GPS attribute marked in APETS	100%	100%
Probationer activated on initial report w/in 72 hours of sentencing/release from custody	100%	0%
Probationer activated upon first face to face with probation officer after Court Ordered Modification	N/A	0%
GPS rules signed by probationer	100%	0%
For documented violations, PO initiate immediate response	100%	100%
Responses entered into APETS within 72 hours	100%	100%
If absconder, PTR with 72 hours	N/A	N/A

Signed Review/Acknowledgement of Terms of Conditions

SPS	89%	93%
IPS	100%	87%

DNA Collection

SPS

Was DNA sample secured from the probationer and transmitted to DPS within 30 days of being placed on probation or acceptance of incoming	N/A	83%
If it is not the probationer's 1st felony offense did the officer verify DNA was in the DPS databank within 30 days of being placed on probation or acceptance of incoming	N/A	80%

IPS

**Navajo County Adult Probation Department
Operational Review Draft Report**

Was DNA sample secured from the probationer and transmitted to DPS within 30 days of being placed on probation or acceptance of incoming	N/A	89%
If it is not the probationer's 1st felony offense did the officer verify DNA was in the DPS databank within 30 days of being placed on probation or acceptance of incoming	N/A	80%

Activity to Locate Before Warrant Issued

IPS - Warrant Requested within 72 Hours	67%	25%
SPS - Warrant Requested within 3 Months	77%	69%
Residence Checked	79%	61%
Collaterals Checked	67%	73%
Employment Checked	40%	17%
Certified Letter Sent (Per Navajo Policy)	27%	16%

Activity of Locate After Warrant Issued

After warrant issued, a criminal history check done	0%	8%
Residence Checked	0%	0%
Employment Checked	0%	0%
Opted-In Victim Notified	0%	67%
Annual Records Check	14%	N/A
If warrant after 7/20/2011, CRO Filed within 90 days	33%	89%

VICTIMS' RIGHTS

SPS

Pre-sentence Contact	85%	100%
Notice of Changes Given	33%	100%

IPS

Pre-sentence Contact	95%	100%
Notice of Changes Given	33%	100%

OFFENDER ACCOUNTABILITY

SPS Financials

Victim Notified if Restitution Two Months in Arrears	50%	50%
Court- Notification if Restitution Two Months in Arrears	12%	56%
Probation Supervision Fees (PSF) Current	N/A	N/A
Officers Addressed Financial Delinquencies ¹ (includes PSF and restitution delinquencies)	29 ¹ %	42%

IPS Financials

Court Notified if Restitution Two Months in Arrears	12%	100%
Victim Notified if Restitution Two Months in Arrears	50%	0%
Restitution Current	75%	N/A
Probation Supervision Fees (PSF) Current	N/A	N/A
Collection of IPS Probationer Wages	N/A	61%

**Navajo County Adult Probation Department
Operational Review Draft Report**

Officers Addressed Financial Delinquencies ¹ (includes PSF and restitution delinquencies)	N/A	50%
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SPS CR Hours

Average Completed – 3-month review period	20%	30%
Officers Addressed Delinquent Hours	38%	18%

IPS CR Hours

Average Completed – 3-month review period	37%	57%
Officers Addressed Delinquent Hours	74%	53%

CASE MANAGEMENT

SPS Cases

Residence Verification within 30 days of Sentencing/Release from Custody	73%	81%
Initial Employment Verification	40%	89%
OST Completed within 30 Days	93%	88%
FROST Completed 180 Days	51%	53%
Supervision Level Matches Assessment Scores	70%	88%
Initial Case Plan Completed within 60 Days	49%	45%
Case Plan Completed at 180 Days	50%	43%
PO Strategies for the Probationer and PO	66%	N/A
Measurable Strategies for the Probationer and PO	61%	N/A
Completed Case Plan for Minimum Supervision Level if Necessary	100%	100%
OST/FROST Highest Criminogenic Need Addressed in Case Plan	63%	N/A
Case Plan Signatures	87%	71%
Low Risk Annual Review	N/A	0%

IPS Cases

Photo in File	100%	97%
Verification of Employment within 10 Days	54%	83%
Unemployed & 6 days/week Job Search & CR	27%	29%
Verification of Residence within 10 Days	52%	97%
Collection of Weekly Schedules	100%	96%
Initial Assessment (OST) within 30 Days or at PSI	97%	90%
Reassessment (FROST) Every 180 Days	63%	75%
Initial Case Plan	44%	21%
Case Plan Every 180 Days	22%	68%
PO Strategies for the Probationer and PO	N/A	N/A
Measurable Strategies for the Probationer and PO	N/A	N/A
Case Plan Signatures	57%	87%

Incoming ISC Cases

Were the Arizona Conditions Signed	100%	100%
Is VCAF on Arizona Terms & Conditions	94%	56%
DNA Collected Within 30 Days	54%	33%

**Navajo County Adult Probation Department
Operational Review Draft Report**

OST Within 30 Days of Arrival or Acceptance	56%	31%
Initial Case Plan Within 60 days of Arrival or Acceptance	63%	20%
Annual Progress Reports Completed	67%	N/A
Sending State's Terms & Conditions in File	100%	94%
Interstate Tracking Screen Completed in APETS	94%	100%
ISC Status Accurate in APETS (Accepted, Closed, etc.)	100%	100%
Are VCAF Collections Current	29%	27%
If VCAF Collections Are Not Current, Has PO Addressed	58%	81%

Outgoing ISC Cases

ISC Status Accurate (Accepted, Closed, etc.)	100%	70%
Did probationer leave with valid reporting instructions	100%	97%
Did the PO respond to violation reports within 10 business days	100%	0%
Was DNA sample secured from the probationer and transmitted to DPS within 30 days of being placed on probation or acceptance of incoming	97%	79%
If it is not the probationer's 1st felony offense or if DNA was previously secured by another agency did the officer verify DNA was in the DPS databank within 30 days of being placed on probation or acceptance of incoming	N/A	0%
DNA screen completed in APETS	N/A	100%

Closed Cases

Warrant Check Before Termination	43%	28%
DNA collected/verified	70%	100%
Court Ordered Treatment Completed	73%	100%
CR Hours Required by Statute Completed by Closure	86%	83%
Opted-In Victim Notified of Closure	100%	100%
If Restitution Owed at Closure, Extended for Restitution	N/A	N/A
Other Financial Terms Owed at Closure	N/A	N/A
CRO Entered for Outstanding Financial Balances	52%	100%

TREATMENT SERVICES

SPS Cases

Treatment Referral within 60 Days	73%	93%
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IPS Cases

Treatment Referral within 60 Days	95%	97%
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Transferred Youth Cases

OST within 30 days	100%	100%
FROST within 180 days	100%	0%
Initial case plan within 60 days of sentencing/release from custody/acceptance	100%	100%
Risk score agree with supervision level	N/A	100%

**Navajo County Adult Probation Department
Operational Review Draft Report**

IPS Level change based on compliance	N/A	N/A
Attended treatment	0%	N/A
Completed treatment	0%	100%
Screened for Title 19 or 21 (AHCCCS)	N/A	0%

SPS Drug Testing

Frequency Described in Case Plan	N/A	100%
Drug Tested as Described in Case Plan	N/A	100%

IPS Drug Testing

Frequency Described in Case Plan	40%	100%
Drug Tested as Described in Case Plan	100%	100%

DTEF Funded Cases

Screened for AHCCCS	100%	N/A
Client Services Screen in APETS Completed	78%	N/A
Evaluation Completed (Instrument Approved by AOC)	100%	N/A
Ability to Pay Form Completed and in File	0%	11%
Did mandatory A' and F's receive a referral for treatment/education	100%	92%